

**UTILITY PATENT
APPLICATION TRANSMITTAL**

(Only for new nonprovisional applications
under 37 CFR 1.53(b))

Attorney
Docket No.

000202

Total
Pages

First Named Inventor or Application Identifier

**Kenji SHIMOYAMA, Nobuyuki HOSOI,
Kazumasa KIYOMI, Yoshinori SATO and Satoshi KIKUCHI**

Express Mail Label No.

Check Box, if applicable ☒ Duplicate

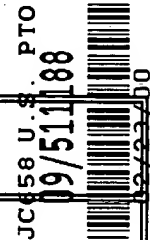
APPLICATION ELEMENTS FOR:
SEMICONDUCTOR OPTICAL DEVICE APPARATUS

ADDRESS TO: Assistant Commissioner for Patents
BOX PATENT APPLICATIONS
Washington, D.C. 20231

1. ☒ Fee Transmittal Form (Incorporated within this form) **(The filing fee is deferred).**
(Submit an original and a duplicate for fee processing)
2. ☒ Specification Total Pages **[46]**
3. ☒ Drawing(s) (35 USC 113) Total Sheets **[6]**
4. ☐ Oath or Declaration Total Pages ☐
(Not attached; deferred under P. L. 97-247.
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from prior application (37 CFR 1.63(d)
(for continuation/divisional with Box 17 completed).
 - i. ☐ Deletion of Inventor(s)
Signed statement attached deleting inventor(s) named in prior application,
see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation by reference (useable if box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under box 4b, is considered as being part of the disclosure of the accompanying application and is incorporated by reference therein.
6. ☐ Microfiche Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement Verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet and document(s))
9. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney



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10. ☐ English translation Document (if applicable)

11. ☐ Information Disclosure Statement

☐ Copies of IDS Citations

12. ☐ Preliminary Amendment

13. ☒ Return Receipt Postcard (MPEP 503)

14. ☐ Small Entity Statement(s)

☐ Statement filed in prior application
Status still proper and desired.

15. ☐ Claim for Convention Priority

☐ Certified copy of Priority Document(s)

a. Priority of _____ application no's. _____ filed on _____ is claimed under 35 USC 119. The
certified copies/copy have/has been filed in prior application Serial No. _____.
(For Continuing Applications, if applicable).

16. ☐ Other _____

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Division ☐ Continuation-in-part (CIP) of prior application no. ____/____

FEE TRANSMITTAL	Number Filed	Number Extra	Rate	Basic Fee \$690.00
The filing fee is calculated below				
Total Claims	53 - 20	33	x \$18.00	594.00
Independent Claims	1 - 3	0	x \$78.00	
Multiple Dependent Claims			\$260.00	
			Basic Filing Fee	1,284.00
				40.00
Reduction by 1/2 for small entity			\$40.00	
Fee for recording enclosed Assignment				1,324.00
TOTAL				

[XX] NO FEE ENCLOSED. THE FILING FEE IS DEFERRED.

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- ☐ A check in the amount of \$ _____ is enclosed to cover the filing fee of \$ _____ and the assignment recordation fee of \$ _____.
- ☐ Please charge our Deposit Account No. **01-2340** in the total amount of _____ to cover the filing fee and the _____ assignment recordation fee. A duplicate of this sheet is attached.
- ☐ The Commissioner is hereby authorized to charge payment for any additional filing fees required under 37 CFR 1.16 or credit any overpayment to Deposit Account No. **01-2340**. A duplicate of this sheet is attached.

18. CORRESPONDENCE ADDRESS

**ARMSTRONG, WESTERMAN, HATTORI
McLELAND & NAUGHTON
1725 K Street, N.W. Suite 1000
Washington, D.C. 20006
Telephone: (202) 659-2930
Facsimile: (202) 887-0357**

SUBMITTED BY

Typed or Printed Name **William G. Kratz, Jr.**

Reg. No. **22,631**

Signature



Date: **February 23, 2000**

WGK/llf